

The OA Advantage, accession policies, and the RQF

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Open Access Repositories

- UTas' present repository is an Open Access Repository (OAR).
- This means that it is oriented towards the goal of the Open Archives Initiative: making research results available to all, free, online, and at the time of asking.
- The primary readers are other researchers looking for information.

Status

Prototype has been running since 2004 operated by the School of Computing

About to become University Library responsibility...

Deposit is required for School of Computing staff and students; voluntary for others

PhD theses are mirrored in OAR as well as separate ADT repository



What it is **not**...

- Not a vehicle for electronic publishing of journals nor e-books
- Not a repository for images or text of historical or local collections of objects
- Not a service based primarily around preservation (archiving)
- Not an e-research facility (raw research data)

Why?

Services with distinct characteristics need separate and more expensive repositories, for example image collections, e-publishing (though maybe using the same software base)

The highest priority is therefore afforded to :

- gaining an advantage in citation metrics (for research standing reasons) and
- the technology is mature, cheap and the goal achievable in a short time frame, decision-makers willing.

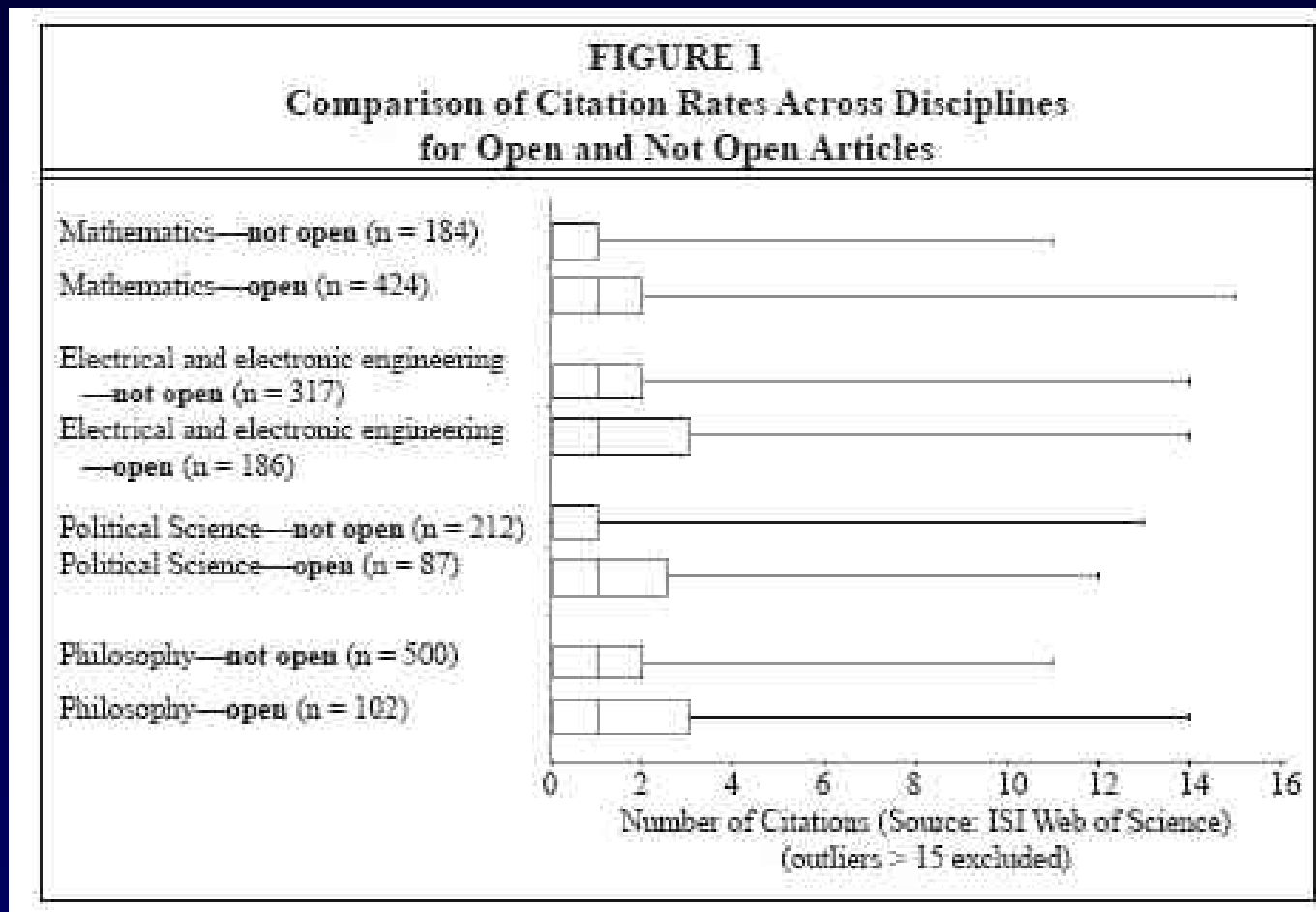
The Open Access Advantage

- Research documents which are online attract **0.5x to 2.5x more citations** than if not, depending on discipline.
- An OAR is the best way to put a research document online, because it is indexed and has a metadata harvesting scheme. It also facilitates other services based on the OAR's existence.

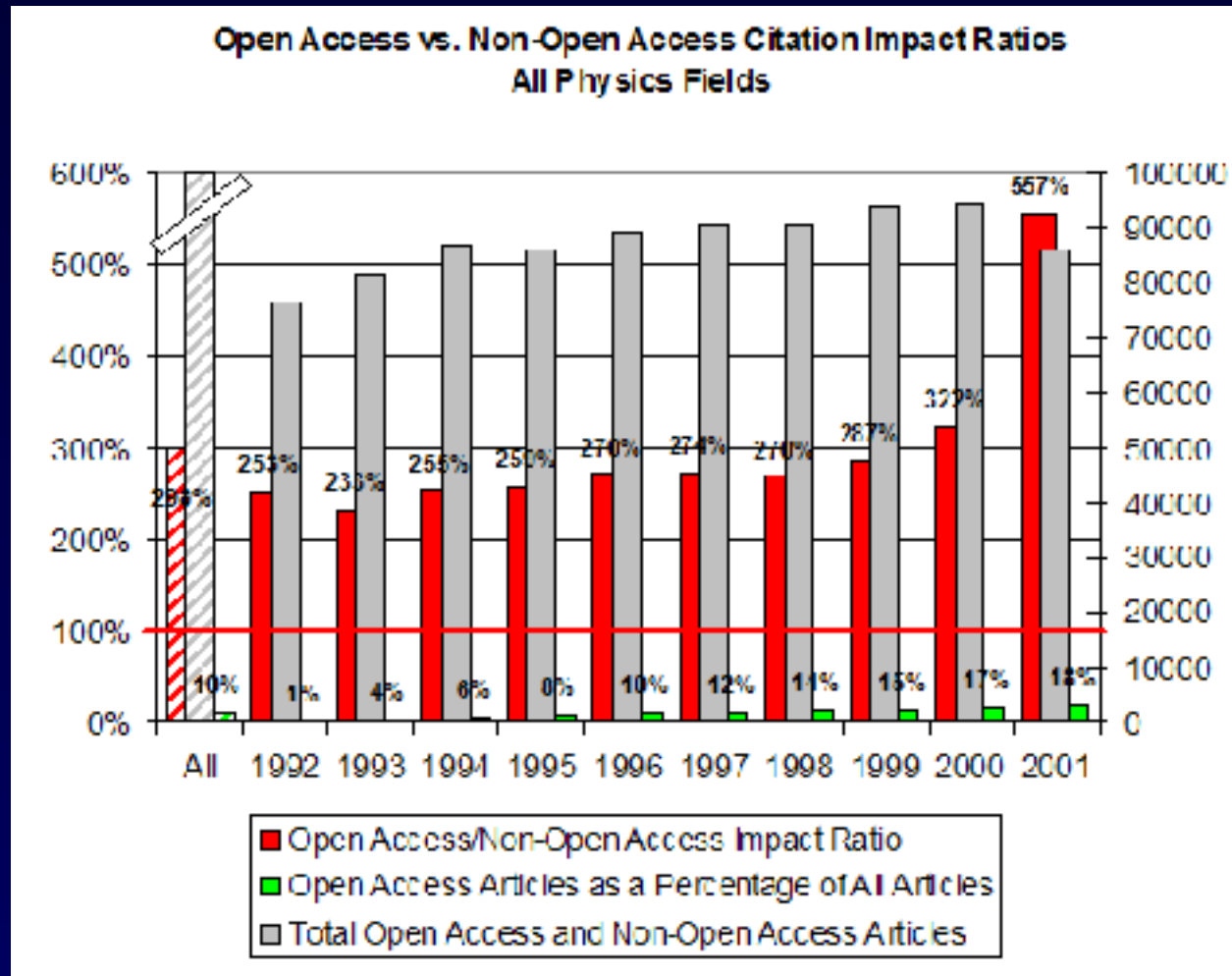
Well-established research

- Harnad S & Brody T (2004). ‘Comparing the Impact of Open Access (OA) vs. Non-OA Articles’. *D-Lib Magazine*, 10(6), ISSN 1082–9873.
- Lawrence, S. (2001) Online or Invisible?, *Nature* 411 (2001) (6837), p. 521.
- Kurtz MJ, Eichhorn G, Accomazzi A, Grant C, Demleitner M, Henneken E, Murray SS (2005). The effect of use and access on citations. *Information Processing & Management* 41(6): 1395–1402.
- Antelman K (2004). Do Open-Access Articles have a Greater Research Impact? *College and Research Libraries* 65(5):372–382.

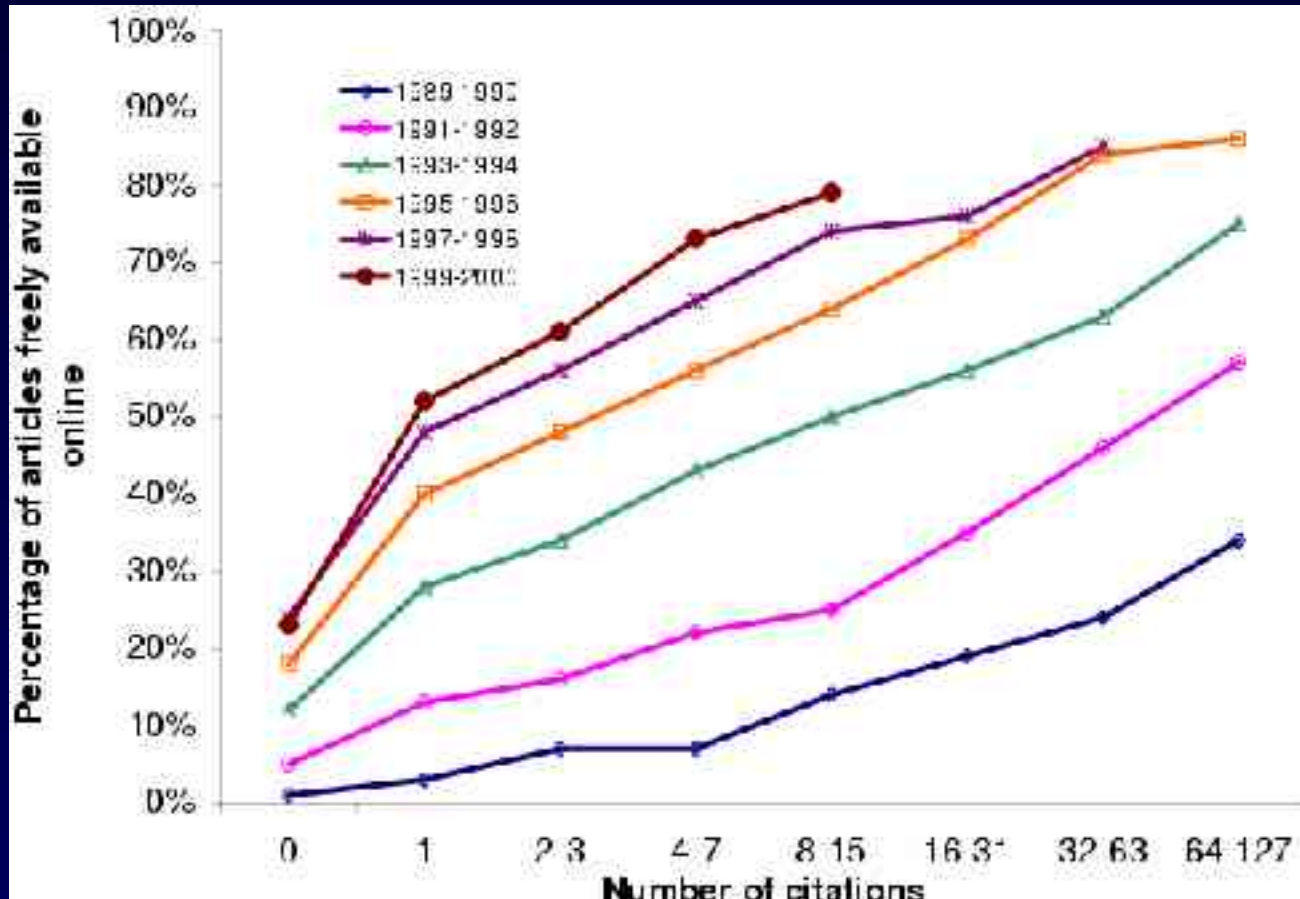
Antelman (2004)



Harnad *et al* (2004)

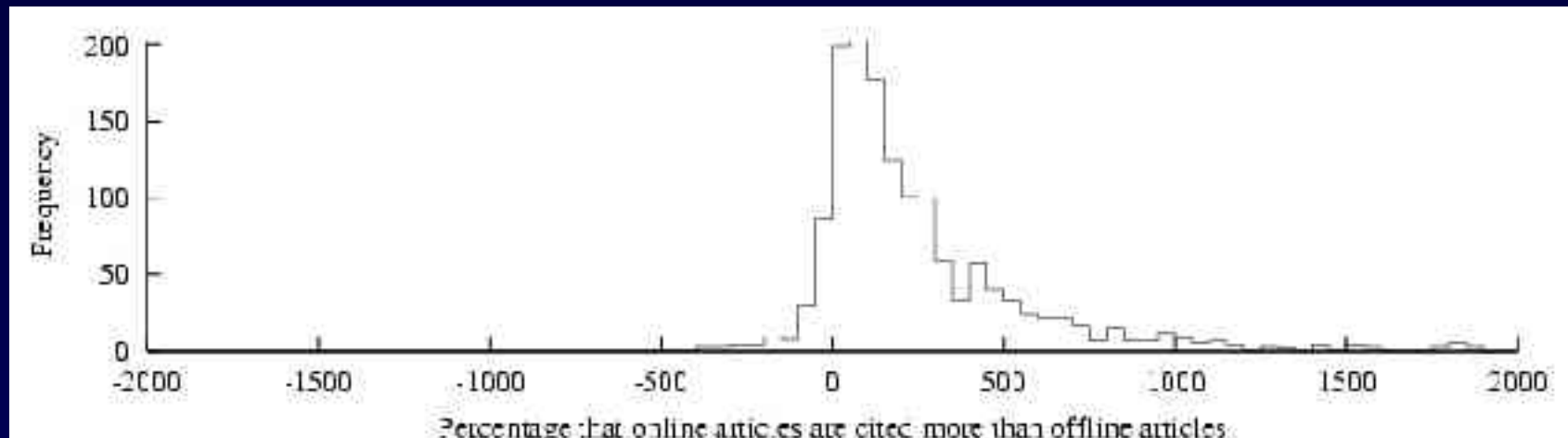


Lawrence (2001)



119,924 computer science articles

Lawrence 2



% online articles cited more than offline

Accession policies

There are two main classes of accession policies:

1. **Voluntary** – deposit is at the author's discretion
2. **Mandatory** – deposit is required by the author's institution (or by a grant funder eg Wellcome Trust, NIH's policy, RCUK's current discussions or by national policy eg Netherlands and France, EU proposal)

NOTE: 'deposit' is not the same as 'open access';
deposit = acquiring the e-copy.

The evidence - 1



OARs that operate a **voluntary** deposit policy collect at most **15%** of the available documents.

This seems to be the case no matter what incentives are offered or what promotional strategies are tried. It is worldwide experience. Low promotion activity levels leads to deposits at even lower levels. Avoidable work is avoided, even if trivial.

The evidence - 2

Where the authors are **required** to deposit in an OAR, **80%+** of the available documents can be collected.

Hard enforcement of the policy is not required; compliance exceeding 80% is fuss-free; compliance grows over 2-3 years.



Author attitudes

Seminal JISC study by Swan & Brown, **Open access self-archiving: An author study.** 2005. <http://eprints.ecs.soton.ac.uk/10999/>

- 81% of authors will deposit willingly if required by institution
- 13% will deposit reluctantly if required
- Only 5% say they will refuse to deposit even if required

The proof

See:

Sale, Prof Arthur (2006) Comparison of IR content policies in Australia. *First Monday* 11(4). April 2006.

http://www.firstmonday.org/issues/issue11_4/sale/

Sale, Prof Arthur (2006) The impact of mandatory policies on ETD acquisition. *D-Lib Magazine* 12(4). April 2006.

<http://www.dlib.org/dlib/april06/sale/04sale.html>

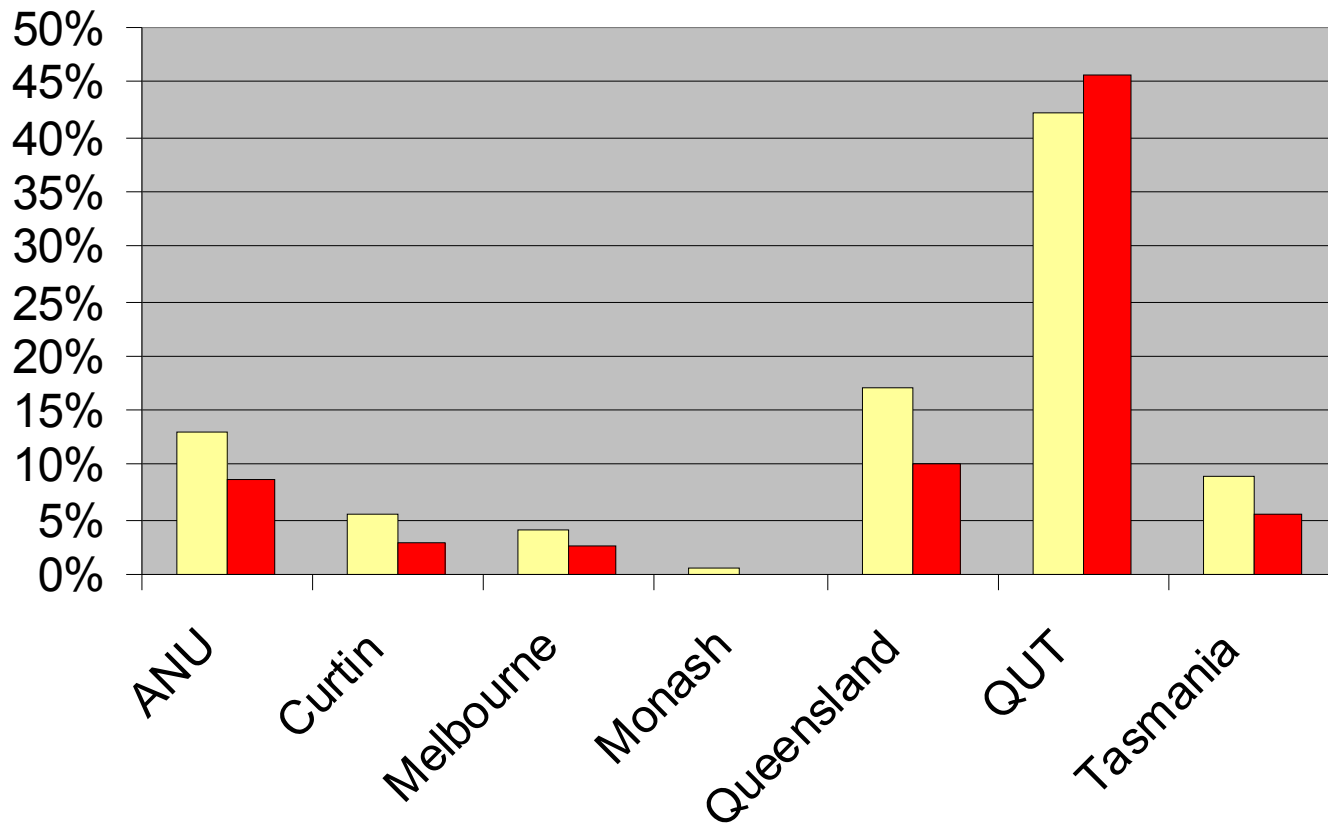
Research articles

The *First Monday* paper deals with research articles in OARs. The following slide shows

- the number of deposited research documents published in a particular year
- as a percentage of the officially reported DEST research output
- for all seven Australian universities that had an OAR established prior to 2004.

% of DEST output

2004 2005

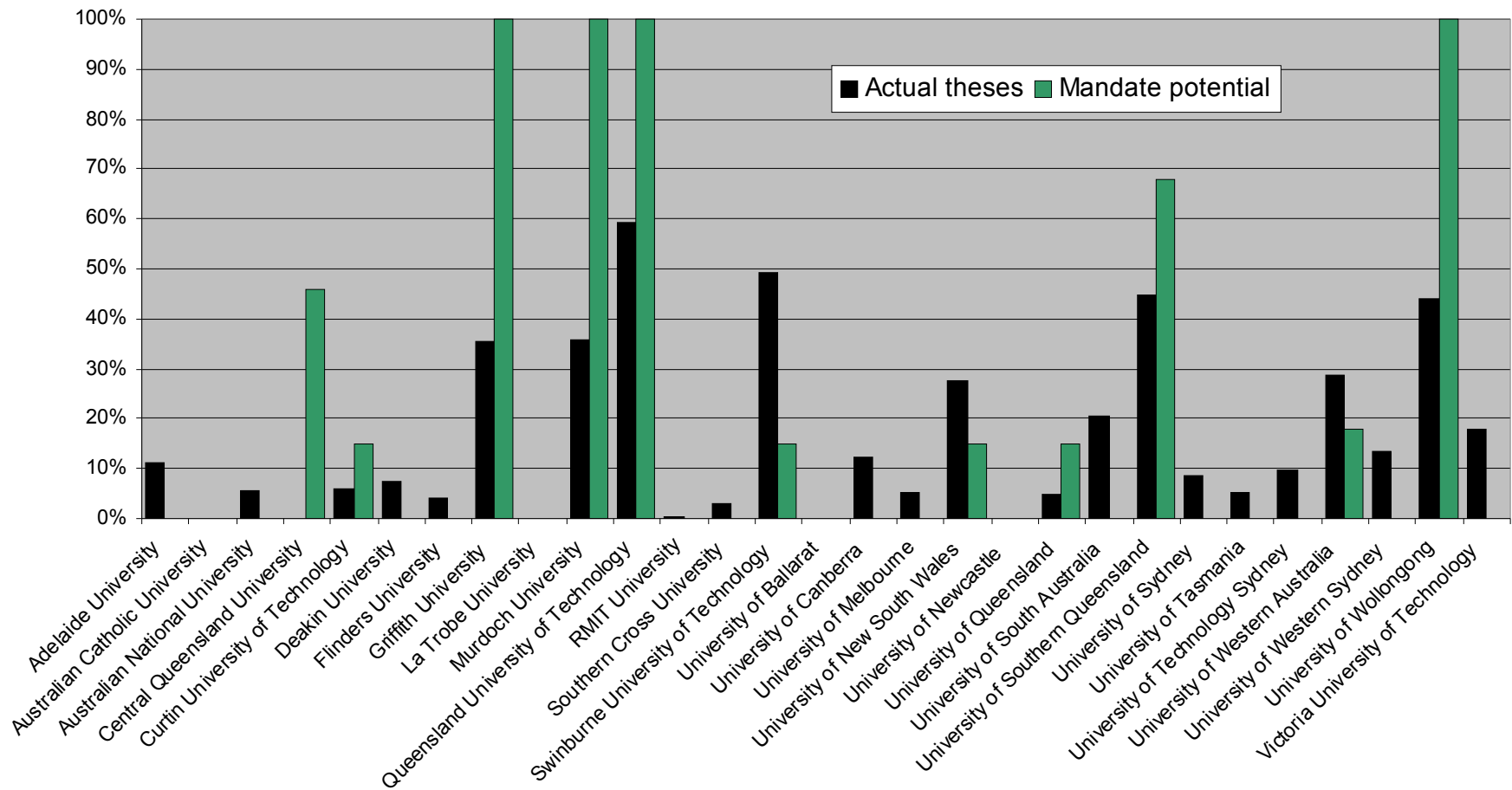


Theses

Now let's do this for repositories that contain ETDs (electronic theses and dissertations), the subject of the ***D-Lib*** article.

There are many more ETD-capable universities, and more of them have 'requirement policies'.

The following chart shows 2005 theses as a percentage of the graduations reported to DEST (black bars), and a 'requirement effectiveness' or 'mandate potential' (green).





Conclusion

Only one Australian university (QUT) has its act together in populating its OAR, and has a requirement policy, now approaching 80% capture.

Twelve Australian universities (of 39) have a requirement policy for theses. Nevertheless, the capture rate is still only 12% as (a) dragged down by the rest and (b) several of the policies have still to bite seriously.

There is a long way to go in promoting and implementing requirement policies (aka 'mandatory policies').

Research Quality Framework

- Minister has appointed a further study committee (NOT an implementation committee)
- Many important details remain unresolved
- **Probability:** First RQF Round will be postponed to 2008 based on: 2007 census date and 2001-2006 publications.
- At some time metrics will replace excessively expensive evaluation, maybe after 2008 or 2012.

RQF-OAR linkage

- Research in OARs increase citations (demonstrated) and increase generalized impact
- RQF evaluation involves both citations and impact, now and in future
- ‘RQF Impact’ must be based on top four publications
- Panels will want to see some publications

Any Australian university concerned about RQF should be getting all its current research output into an OAR as soon as possible, and retrospectively back to 2001 as possible. The first RQF round will be critical. The RQF is about [rapid] change in the HE system.

RAE (United Kingdom)

- RQF is recent Australian equivalent of long-established RAE.
- Next UK RAE assessment due in 2008.
- Will move to discipline-weighted metrics after 2008 round to replace over-expensive operation.
- JISC has funded IRRA: RAE module add-ons to EPrints and DSpace (2006 delivery).

UTas preparedness

- Current WARP system provides IRRA-like functionality
- WARP records contain a link to EPrints full-text record (have done for two years)
- UTas should have ALL 'four best publications' in EPrints (mandatory) and linked to WARP.
- Since authors and best publications not known in advance, general mandatory system best.



RQF interfacing

- Work in UTas has commenced on analysing RQF requirements against the OSS IRRA module with a view to producing an EPrints-compatible RQF module.
- Active development dependent on finalization of RQF requirements by Minister.
- Would provide Australia-wide RQF-compatible repository software. UTas may or may not use.

RQF Summary

OAR provides for greater citations, therefore long-term better metrics.

OAR provides mechanism to deliver 'four best publications' to RQF panels on demand with minimal cost, perhaps with attached metrics in future.

Add-on modules to OAR potentially provide management information and other RQF input.

Discussion



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